

## 1.0 Purpose

- 1.1. Implement policies and procedures for authorizing access to electronic protected health information as appropriate based upon business needs and job functions, as referenced in the UCSF 650-16 Information Security and Confidentiality Policy (located at: <http://policies.ucsf.edu/650/65016.htm>)
- 1.2. Information Access Management procedures in this document include:
  - 1.2.1. Information Access Authorization
    - Implement policies and procedures for granting access to electronic protected health information, for example, through access to a process, or other mechanism.
  - 1.2.2. Information Access Establishment and Modification
    - Implement policies and procedures that, based upon the entity's access authorization policies, establish, document, review, and modify a user's right of access to a workstation, transaction, program, or process.

## 2.0 Definitions

- 2.1. **Access:** The ability or the means necessary to read, write, modify, or communicate data/information or otherwise use any system resource.
- 2.2. **Access-Granting Group:** The group responsible for administering access rights to users.
- 2.3. **Availability:** The property that data or information is accessible and usable upon demand by an authorized.
- 2.4. **Confidentiality:** The property that data or information is not made available or disclosed to unauthorized persons or processes.
- 2.5. **Health Care Providers:** Any provider of medical or other health services, or supplies, that transmits any health information in electronic form in connection with a transaction for which a standard has been adopted.
- 2.6. **Individual:** The person who is the subject of protected health information.
- 2.7. **Integrity:** The property that data or information has not been altered or destroyed in an unauthorized manner.
- 2.8. **Protected Health Information:** Individually identifiable health

information that is transmitted by electronic media, maintained in electronic media, or is transmitted or maintained in any other form or medium. This excludes the individually identifiable health information in education records covered by the Family Educational Rights and Privacy Act, records described at 20 U.S.C. 1232g(a)(4)(B)(iv) of the Social Security Act, and employment records held by a covered entity in its role as employer.

- 2.9. **Sensitive Information:** This includes Electronic Protected Health Information (ePHI) as well as other private personal information such as payroll records and other confidential files.
- 2.10. **Use:** With respect to individually identifiable health information, the sharing, employment, application, utilization, examination, or analysis of such information within an entity that maintains such information.
- 2.11. **User:** A person or entity with authorized access.
- 2.12. **Workforce:** All faculty, staff, students, trainees, volunteers, and business associate who access restricted or confidential information during the course of their duties.
- 2.13. **Workstation:** An electronic computing device, for example, a laptop or desktop computer, or any other device that performs similar functions, and electronic media stored in its immediate environment.

### **3.0 Procedures & Responsibilities**

#### **3.1. Criteria for Establishing Access**

##### **3.1.1. Granting Access:**

- Department Managers are responsible for authorizing access to systems with sensitive information. Access rights will be granted as identified in the Workforce Security Procedure 60.002, section 3.1. Authorization and/or Supervision Procedures.

##### **3.1.2. Restricting Access**

- Access to sensitive information is restricted until granted as defined in section 3.1.1 Granting Access.

##### **3.1.3. Identity Based Access**

- Each user requires a unique User ID in order to gain

---

If this is a paper copy, it is *uncontrolled*, and you must verify the on-line revision level before using.  
Contains Proprietary Information and is for the use of UCSF only.

access to sensitive information.

### **3.2. Information Access Establishment and Modification**

#### **3.2.1. Establishing and Documenting Access Authorization**

- As defined in the Workforce Security Procedure 60.002, section 3.1. Authorization and/or Supervision Procedures, department managers are responsible for identifying their direct reports, or users, who require access to sensitive information.
- The Department Manager must then identify the systems their direct reports require access to in their daily work that contain access to sensitive information. Based on this, the appropriate Request for Access to Sensitive Information Form must be filled out and sent to the access-granting group for processing.

Both the department manager and the user must sign these forms prior to processing by the access-granting group.

- Both the department manager and the end-user must sign and keep a copy of these forms prior to processing by the access granting group.
- Subsequently, if a Department Manager requires the transfer of access permissions from one end-user to another, the appropriate UCSF Tracking Form for Access With or Without Consent to Electronic Communication Records (located at <http://www.ucsf.edu/its/policy/tracking-form.pdf>) must be filled out and sent to the access-granting group for processing.

Both the Department Manager and the end-user (in most cases) must sign these forms prior to processing by the access-granting group.

- The department must keep a copy of the Request for Access to Sensitive Information Form and the UCSF Tracking Form for Access With or Without Consent to Electronic Communications Records. These forms are also centrally stored with the access-granting group.

#### **3.2.2. Maintenance of access rights:**

- If changes are required to access permissions, follow the same procedures described in Section 3.2.1 Establishing

and Documenting Access Authorization.

**4.0 Initiation and  
Control  
Reporting**

Completed records associated with this procedure are stored with the access-granting group & in department requesting authorization.

**5.0 Records**

- Request for Access to Sensitive Information Form
- UCSF Tracking Form for Access With or Without Consent to Electronic Communications Records

Per 164.316 Policies and Procedures: Documentation Requirements, Retain the documentation required by paragraph (b)(1) of this section for 6 years from the date of its creation or the date when it last was in effect, whichever is later.

**6.0 Related Records**

**164.308(a)(4)** - HIPAA Security Rule: Information Access Management  
**60.002** – Workforce Security Procedure

**REVISION RECORD**

Rev.	Date	Originated by:	Description of Change
A	11/17/2004	Darin Reinwald	Initial Release
B	11/27/2006	Rob Slaughter	Revised for School of Nursing

If this is a paper copy, it is *uncontrolled*, and you must verify the on-line revision level before using.  
Contains Proprietary Information and is for the use of UCSF only.